



CHILD CARE AND DEVELOPMENT FUND PLAN
FOR
FFY 2006-2007

This Plan describes the CCDF program to be conducted by the State for the period 10/1/05 – 9/30/07. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

Public reporting burden for this collection of information is estimated to average 162.57 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

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(Form ACF 118 Approved OMB Number: 0970-0114 expires 05-31-2006)

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NORTH DAKOTA STATE PLAN FOR CCDF SERVICES
FOR THE PERIOD 10/1/05 – 9/30/07

AMENDMENTS LOG

Child Care and Development Services Plan for
For the period: 10/1/05 -- 9/30/07

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

Instructions:

- 1) Lead Agency completes the first 3 columns and sends a photocopy of this Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the Log, showing the latest amendment pending in ACF, is retained in the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain those "old" plan pages that are superseded by amendments in a separate appendix to its Plan.

PART 1
ADMINISTRATION

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1 Lead Agency Information (as designated by State chief executive officer)

Name of Lead Agency: **North Dakota Department of Human Services**

Address of Lead Agency: **State Capitol**
600 East Boulevard Avenue
Bismarck, ND 58505-0250

Name and Title of the

Lead Agency's Chief Executive Officer: **Carol K. Olson, Executive Director**

Phone Number: **(701) 328-2316**

Fax Number: **(701) 328-3538**

E-Mail Address: **dhseo@state.nd.us**

Web Address for Lead Agency (if any): **www.state.nd.us/humanservices**

1.2 State Child Care (CCDF) Contact Information (day-to-day contact)

Name of the State Child Care Contact (CCDF):

Title of State Child Care Contact:

Bobbi Gitter, Child Care Subsidy Administrator

Phone: (701) 328-4603 Fax (701) 328-1060 E-Mail: gitterb@state.nd.us

Corinne A. Bennett, Administrator of Early Childhood Services

Phone: (701) 328-4809 Fax (701) 328-3538 E-Mail: sobenc@state.nd.us

Web Address: www.ndchildcare.org

Phone Number for child care subsidy program information (for the public) (if any):

Web Address for child care subsidy program information (for the public) (if any):

www.state.nd.us/humanservices/services/financialhelp/childcare.html

1.3 Estimated Funding

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2005 through September 30, 2006. (§98.13(a))

CCDF: **\$9,086,112**

Federal TANF Transfer to CCDF: **\$0**

Direct Federal TANF Spending on Child Care: **\$1,136,707**

State CCDF Maintenance of Effort Funds: **\$1,017,036**

State Matching Funds: **\$1,404,377**

Total Funds Available: **\$12,644,232**

1.4 Estimated Administration Cost

The Lead Agency estimates that the following amount (and percentage) of Federal CCDF and State Matching Funds will be used to administer the program (not to exceed 5 percent): **\$524,524 (5 %)**. (658E(c)(3), §§98.13(a), 98.52)

1.5 Administration of the Program

Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5.1 – Activities & Services to Improve the Quality and Availability of Child Care, Quality Earmarks and Set-Aside?

☐

Yes. Skip questions 1.6 and 1.7. Go to Section 1.8.

☒

No, and the following describes how the Lead Agency maintains overall control when services or activities are provided through other agencies: (658D(b)(1)(A), §98.11)

The Lead Agency is the North Dakota Department of Human Services. The Lead Agency does not require plans from the counties as all counties are required to administer the quality and subsidy functions in the same manner. These relationships with the counties are governed by North Dakota Century Code 50-11.1-07; Service Chapter 620-01; N. D.C.C. § 50-01.2-00.1(3) and §50-01.2-03.2(1).

o Quality Issues

- ✓ **Supervises county and regional child care licensing workers by: writing and maintaining program rules, regulations and policy for the child care licensing system.**

- ✓ **The counties are not branches of the lead agency. The relationship is governed by North Dakota Century Code, which states that the county has the role of licensing. Roles and responsibilities are identified in program policy and procedure manual. Regional Representative for Early Childhood Services (State Licensing Staff) work with and monitor county licensers work. County Reimbursement for licensing costs from the CCDF monies is contingent upon compliance with State Policy and Procedures.**
- ✓ **The Lead Agency Administrator for Early Childhood Services conducts regular conference calls and meetings to monitor the work and to provide updated licensing information to the Regional Representatives for Early Childhood Services.**
- ✓ **Regional Representatives for Early Childhood Services (State Licensing staff located at Lead Agencies' Regional offices) provide training and assistance to counties concerning program issues. They meet on a regular basis with the counties' licensing staff to monitor work and to provide updated licensing information.**
- ✓ **The Lead Agency contracts/works with the Child Care Resource and Referral (CCR&R) agencies in their role with child care providers as stated in Section 2.3. The Lead Agency receives a quarterly report from CCR&R, meets quarterly with CCR&R Directors and participates in monthly conference calls to monitor contracted services.**
- ✓ **The Lead Agency issues a Request for Proposals (RFP) every four years for Child Care Resource and Referral Services. The last time a RFP was issued was in April of 2005.**
- **Subsidy Issues**
 - ✓ **Supervises county social service eligibility workers by writing and maintaining program policy, rates and sliding fee schedule, and providing training.**
 - ✓ **The counties are not branches of the lead agency. The relationship is governed by N. D.C.C. § 50-01.2-00.1(3) and §50-01.2-03.2(1).**
 - ✓ **Economic Assistance Regional Representatives (Lead Agency staff) provide training and assistance to counties concerning programmatic issues as needed.**

- ✓ **A sampling plan has been developed to select CCAP payments for review each year. The results of the reviews are provided to the Regional Representatives and county social service offices. Based on the results of the reviews additional training was done by the State Subsidy Administrator.**
- ✓ **When clients or providers contact the Subsidy Administrator about subsidy payment issues, the county eligibility worker involved is contacted. If there appears to be a larger issue than just one payment, the Regional Representative or the County Economic Assistance Supervisor is notified so the issue can be addressed.**
- ✓ **If there continues to be problems within the county, the county director is notified and asked by the State Subsidy Administrator for a plan by the county to correct the problems.**

1.6 Determining Eligibility

For child care services funded under §98.50 (e.g., certificates, vouchers, grants/contracts for slots based on individual eligibility), does the Lead Agency itself: (§98.11)

- Determine individual eligibility of non-TANF families?
☐ Yes.
☒ No. If no, identify the name and type of agency that determines eligibility of non-TANF families for child care:
Eligibility workers in county social service offices determine the eligibility for child care for non-TANF families. The county social service offices are not branches of the lead agency. The working relationship with counties is defined in N. D.C.C. §§ 50-01.2-00.1(3) and 50-01.2-03.2(1). The eligibility workers at county social service offices are also determine eligibility for the TANF, Food Stamps, LIHEAP and the Medicaid programs.
- Determine individual eligibility of TANF families?
☐ Yes.
☒ No. If no, identify the name and type of agency that determines eligibility of TANF families for child care:
Eligibility workers in county social service offices determine the eligibility for child care for TANF families. The county social service offices are not branches of the lead agency. The working relationship with counties is defined in N. D.C.C. §§ 50-01.2-00.1(3) and 50-01.2-03.2(1). The eligibility workers at the county social service workers also determine eligibility for the TANF, Food Stamps, LIHEAP and Medicaid agencies.

- Assist parents in locating child care?
☐ Yes.
☒ No. If no, identify the name and type of agency that assists parents:
Families are referred to the Child Care Resource and Referral CCR&R) agency to assist them in locating child care that fits their needs. The lead agency contracts with the following three CCR&R agencies to provide the services:

Lakes and Prairies Community Action Agency – a private non-profit that serves the eastern quadrant of the state; and

Lutheran Social Services – a private non-profit, faith based that serves the western half of the state.

- Make payments to providers and/or parents?
☒ Yes.
☐ No. If no, identify the name and type of agency that makes payments:

1.7 Non-Governmental Entities

Is any entity named in response to section 1.6 a non-governmental entity? (658D(b), §§98.10(a), 98.11(a))

- ☒ Yes, and the following entities named in 1.6 are non-governmental:
The Child Care Resource and Referral Services are contracted services provided by two non-profit agencies as follows:

Lakes and Prairies Community Action Agency– a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - private non-profit, faith based that serves the western half of the state.

- ☐ No.

1.8 Use of Private Donated Funds

Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2) and (f)?

- ☐ Yes, The name and type of entity designated to receive private donated funds is:
Name:
Address:
Contact: Type:
☒ No.

1.9 Use of State Pre-Kindergarten (Pre-K) Expenditures for CCDF-Eligible Children

1.9.1 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

☐ Yes, and:

() The State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

(%) Estimated % of the MOE requirement that will be met with pre-K expenditures.

If the State uses Pre-K expenditures to meet more than 10% of the MOE requirement, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

☒ No.

1.9.2 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirement? (§98.53(h))

☐ Yes, and

(%) Estimated % of the Matching Fund requirement that will be met with pre-K expenditures.

If the State uses Pre-K expenditures to meet more than 10% of the Matching Fund requirement, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

☒ No.

1.9.3 If the State answered yes to 1.9.1 or 1.9.2, the following describes State efforts to ensure that pre-K programs meet the needs of working parents: (§98.53(h)(2))

1.10 Improper Payments

1.10.1 How does the Lead Agency define improper payments?

An improper payment is any payment where the provider is overpaid for the child care services required for the parent to participate in an allowable activity. This includes, but is not limited to, excess billing of hours, charging a higher rate for a subsidy parent than for a private pay parent, the parent writing a statement stating the parent is to be paid directly and forging the provider's name, and the provider changing the billing report after the parent has signed it.

1.10.2 Has your State developed strategies to prevent, measure, identify, reduce and/or collect improper payments? (§98.60(i), §98.65, §98.67)

☒

Yes, and these strategies are:

The Department exchanges payment information with the Tribes to ensure that both the State and the Tribal Programs are not paying the same child care bill during the same month.

The case review process addressed in Sections 1.5 and in Section 1.10.3 reveals whether there are eligibility requirements being missed or improperly administered. The feedback is sent to the county on each case reviewed in that county. The statewide tally of all the errors are sent to counties so the Directors are aware of the errors Statewide.

The sampling plan for the reviews is in Attachment 13. The reviews are complete by the Child Care Subsidy Administrator; the LIHEAP State Office Administrator, who has been trained to do CCAP reviews; and the Administrator for Public Assistance.

The information from the reviews has been the basis for training and a change to mandating the Excel Worksheet to determine payments.

☐

No. If no, are there plans underway to determine and implement such strategies?

☐

Yes.

☐

No.

1.10.3 Has your State developed strategies to identify errors in the determination of client eligibility?

☒

Yes, and these strategies are:

A scientific random sampling of payments, processed within a six-month period, is done yearly.

Each payment is reviewed to ensure: there is a valid application and bill; the parent was in an allowable activity; the need for service was accurately determined for the children and the parents; the appropriate amount was paid based on the bill, the provider type, and the family's income and size; if the provider was an approved relative that the relative was approved for this child(ren); the correct income was used; that the correct birth dates of the children were used; and the data was entered correctly into the payment system.

Counties receive a copy of the review form on each of their cases reviewed. The results of all the cases reviewed statewide are tallied and distributed to all the counties.

The results of the tally of the statewide reviews have been used as a basis for memos reminding county staff of the policies that have not been implemented correctly and the training last summer.

☐

No. If no, are there plans underway to determine implement such strategies?

☐

Yes.

☐

No.

PART 2 DEVELOPING THE CHILD CARE PROGRAM

2.1 Consultation and Coordination

2.1.1 Lead Agencies are required to *consult* with appropriate agencies and *coordinate* with other Federal, State, local, tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)). Indicate the entities with which the Lead Agency has consulted or coordinated (as defined below), by checking the appropriate box(es) in the following table.

Consultation involves the participation of an appropriate agency in the development of the State Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments (noted by the asterisk in the chart below).

Coordination involves the coordination of child care and early childhood development services, including efforts to coordinate across multiple entities, both public and private (for instance, in connection with a State Early Childhood Comprehensive System (SECCS) grant or infant-toddler initiative). At a minimum, Lead Agencies must coordinate with (1) other Federal, State, local, Tribal (if applicable), and/or private agencies responsible for providing child care and early childhood development services, (2) public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health), (3) employment services / workforce development, (4) public education, and (5) Temporary Assistance for Needy Families (TANF), and (5) any Indian Tribes in the State receiving CCDF funds (noted by the asterisks in the chart below).

	Consultation	Coordination
• Representatives of local government	<input checked="" type="checkbox"/> *	<input checked="" type="checkbox"/>
• Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Other Federal, State, local, Tribal (if applicable), and private agencies providing child care and early childhood development services.	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
• State/Tribal agency (agencies) responsible for		
○ Public health	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ Employment services / workforce development	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ Public education	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ TANF	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ State pre-kindergarten programs	<input type="checkbox"/>	<input type="checkbox"/>
○ Head Start programs	<input type="checkbox"/>	<input checked="" type="checkbox"/>
○ Programs that promote inclusion for children with special needs	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Other (See guidance):	<input type="checkbox"/>	<input type="checkbox"/>

* Required.

For each box checked above, (a) identify the agency providing the service and (b) describe the consultation and coordination efforts, if any. Descriptions must be provided for any consultation or coordination required by statute or regulation.

○ **Representatives of Local Governments:**

The Lead Agency administers the child care licensing system for the state. The county social service offices conduct child care licensing studies, investigate complaints, and issue correction orders. The Lead Agency provides partial funding for these services with CCDF monies.

The Child Care Subsidy Administrator meets with the directors of the county social service offices when changes in the subsidy program are anticipated or there are issues that need to be resolved within the counties. The county directors are also the contacts for the child care subsidy reviews, and are updated on a regular basis on the progress and problems with the reviews. The directors plus the Child Care Subsidy Work group (eligibility workers from the counties) provide on-going assistance for operation of the Subsidy Program and have input to the updates to the State Plan.

○ **Tribal:**

The Licensing Consultation Project is funded by the Lead Agency with the CCDF, the Spirit Lake Tribe and the Standing Rock Sioux Tribe. The Lead Agency contracts for services with Lutheran Social Services (CCR&R), a private non-profit, faith based organization.

The Lead Agency works collaboratively with Spirit Lake Tribes, Fort Berthold Child Care Center, and Trenton Indian Services in the delivery of the North Dakota Program for Infant Toddler Caregivers funded by the Bush Foundation of St. Paul, Minnesota.

The Lead Agency includes all the tribes in the development of Early Learning Guidelines, and the Early Care and Education Professional Development Planning process. Fort Berthold Child Care Center is one of the Apprenticeship sponsor sites.

The ND Apprenticeship Project is funded by US Department of Labor. The Lead Agency provides leadership and contracts for services to Lakes and Prairies Community Action Agency, a private non-profit that serves the entire state for this project.

The Lead Agency includes all the tribes in the New Child Care Licensure Training held annually. Three tribes participated in the 2005 training.

○ **Other Federal, State, local, Tribal and private agencies providing child care and early childhood development services:**

ND Program for Infant/Toddler Caregivers (Tribal & State), funded by the Bush Foundation of St. Paul, Minnesota, is a private non-profit foundation in Minnesota. The Lead Agency provides leadership and contracts for the services to:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services – a private non-profit, faith based that serves the western half of the state; (this agency houses the I/T State Office that holds the funding for Fort Berthold Area's project)

Trenton Indian Services Area - a Tribal Services Area;

Spirit Lake Sioux Tribe.

ND CCR&R Network, funded with CCDF – The Lead Agency provides leadership and contracts for the services to:

Lakes and Prairies Community Action Agency – a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

○ **State/Tribal agency (agencies) responsible for:**

✓ **Public health**

The Lead Agency has been actively involved in the planning of and participating in the ND Early Childhood Comprehensive System Planning Grant.

✓ **Employment services/workforce development**

The Lead Agency has a Jobs Coordinator who works closely with Job Service of North Dakota. ND Job Service currently has the contract for the JOBS Program.

✓ **Public Education**

A Planning/Development/Funding Group that consists of individuals representing the Lead Agency and the N.D. Department of Public Instruction has entered into an agreement with a writing team to draft the Early Learning Guidelines Birth to Five.

✓ **TANF**

The Lead Agency is the agency that houses the TANF program. Since CCDF funds are used as one of the child care funding payment sources systems for TANF clients, the TANF Program Supervisor and the Child Care Subsidy Administrator work closely to ensure that all program requirements for both programs are met, and that the county staff understand how to correctly pay and record TANF payments.

✓ **Head Start/Early Head Start Programs**

The Head Start Collaboration Office is located in the ND Department of Human Services. Both Administrators work on many projects such as the Professional Development Plan and the Early Learning Guidelines. Many Head Start/Early Head Start Programs participate in the CARECHECK Registry administered by the Administrator of the Early Childhood Services. CARECHECK is a voluntary background check registry. Background checks used include Child Abuse and Neglect, State Crime Bureau and FBI.

✓ **Programs that promote the inclusion for children with special needs: Both the Head Start Collaboration Administrator and Administrator of Early Childhood Services from the ND Department of Human Services have worked on the Natural Allies grant project. The project is to help states in preparing personnel to work with young children (0-5) in inclusive community settings.**

2.1.2 State Plan for Early Childhood Program Coordination. *Good Start, Grow Smart* encourages States to develop a plan for coordination across early childhood programs. Indicate which of the following best describes the current status of the State's efforts in this area.

- ☒ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts
- ☐ **Developing.** A plan is being drafted. The draft is included as _____
- ☐ **Developed.** A plan has been written but has not yet been implemented. The plan is included as Attachment _____
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment _____
- ☐ **Other (describe):** _____

Professional Development Plan:

- ✓ **Plans for 2006/2007 are to implement the PD Plan and to coordinate the PD efforts with the Early Learning Guidelines Project.**
- ✓ **Plans for 2006/2007 also are to develop child care trainings around the Early Learning Guidelines domains.**

Early Learning Guidelines Planning:

- ✓ **Field-testing will be conducted October 1, 2005 through April 1, 2006.**
- ✓ **Focus groups interviews with consumer groups will be conducted November 1, 2005 through May 1, 2006.**
- ✓ **The final draft is due by June 30, 2006. When completed and approved, the guidelines will be available to providers, parents and others.**
- ✓ **Early Learning Guidelines will align with our state's kindergarten standards.**

Describe the progress made by the State planning for coordination across early childhood programs since the date of submission of the 2004-2005 State Plan. **The three planning initiatives listed below have enabled different agencies and Early Childhood professionals to come together to review the history and current status of Early Childhood issues in North Dakota. These reviews have served as the baseline to determine the future direction of Early Childhood Services.**

These planning initiatives also enable those, who were unfamiliar with them, to gain an understanding of current Early Childhood issues. These committees provided an avenue for the different agencies, involved in serving young children, to collaborate on new projects.

○ **Professional Development Planning**

- ✓ The Early Childhood Higher Education Consortium was established and began working on an articulation agreement. They plan to have a Statewide Early Childhood Education Articulation Agreement in place by January 2006.
- ✓ The Professional Development Leadership Team (PDLT) (Attachment 9) met in February of 2005 to review the draft plan and decide on suggested changes and revisions. Also decided in February 2005 was to devise a two-fold plan, a recognition system and a professional development plan.
- ✓ June 1, 2005 the writing group, (members of the Professional Development Leadership Team) submitted the revised plan to be called the “2005 PDP” and an implementation draft plan.
- ✓ Decision was also made in June 2005 that the writing group (sub group of the PDLT) would be developing a licensing rating system.

○ **Early Learning Guidelines Planning**

- ✓ The Voluntary Early Learning Guidelines Committee was established and has over 40 members. (Attachment 10.) They provide over site to the work of the project by providing input and reviewing the work of the writers.
- ✓ A Planning/Development/Funding Group, which consists of individuals representing the N.D. Department of Human Services and the N.D. Department of Public Instruction, has entered into an agreement with a writing team to draft the Early Learning Guidelines Birth to Five.
- ✓ The following domains were approved by the Committee May 2005:
 1. Creative Expression
 2. Language & Literacy
 3. Mathematics & Numeracy
 4. Physical Development & Health
 5. Science
 6. Social & Emotional Development
 7. Social Studies

- **Early Childhood Comprehensive System Planning Grant**
 - ✓ The Lead Agency has been actively involved in the planning of and participation in the ND Early Childhood Comprehensive System Planning Grant.
 - ✓ A Steering Committee made up of individuals from the Health Department (grantee), Lead Agency (Administrators of Head Start Collaboration, Early Childhood Services, Child Protection and Institutional Abuse/Child Fatality Review Panel) and CCR&R put together a logic model (Attachment 11) outlining the work that needs to be accomplished.
 - ✓ Five subcommittees were established, each assigned to one of the five core competencies of the grant.
 - ✓ These subcommittees have been meeting their piece of the plan.

Indicate whether there is an entity that is responsible for ensuring that such coordination occurs. Indicate the four or more early childhood programs and/or funding streams that are coordinated and describe the nature of the coordination.

The Professional Development Leadership Team is funded by the Lead Agency with CCDF and Head Start Collaboration funds. Both administrators are actively involved in the leadership of the project. The Lead Agency has the responsibility for ensuring that the coordination occurs.

The Early Learning Guidelines are funded by the Lead Agency (Head Start Collaboration, CCDF, and Part C-DD) and the Department of Public Instruction (619 of Part B). Both agencies are actively involved in the leadership of the project. The Lead Agency and the ND Department of Public Instruction are responsibility for ensuring that the coordination occurs.

Early Childhood Comprehensive System Planning Grant is funded by the North Dakota Department of Health (Maternal and Child Health Bureau). (Attachment 12.) The ND Department of Health has the responsibility to ensure that coordination occurs.

The three projects listed above also each have steering/planning committees to coordinate the activities and ensure that coordination occurs.

Tribal/State Child Care Licensing Consultant Project is funded by the lead agency, Spirit Lake Nation and Standing Rock Sioux Tribe. Each entity is sharing resources for child care licensing system development for both tribal nations. The Lead Agency and Lutheran Social Services of North Dakota (service contract holder) have the responsibility to ensure that the coordination occurs.

North Dakota Program for Infant Toddler Caregivers is funded, each year by the Bush Foundation of St. Paul and the Lead Agency to provide an intensive trainings and consultation services for those who care for infants and toddlers. Funding for this statewide project inclusive of the reservations and program supervision is coordinated by the Infant Toddler State Office. The Lead Agency has the responsibility to ensure that the coordination occurs.

Describe the **results** or expected results of this coordination. Discuss how these results relate to the development and implementation of the State's early learning guidelines, plans for professional development, and outcomes for children.

The coordination will result in a:

- ✓ **System building that will enable both state and tribal systems to embrace new initiatives for young children.**
- ✓ **PD system that will help facilitate better qualified early childhood professionals.**
- ✓ **ELG that will provide early childhood professionals and parents with a pathway to facilitate young children as they learn and grow in a developmentally appropriate way.**
- ✓ **Development of trainings around the ELG.**
- ✓ **Alien ELG with the Kindergarten standards in our state.**
- ✓ **Alien ELG and PD.**

Overall arching objective is to create quality learning environments for the young children in our state.

Describe how the State's plan supports or will support continued coordination among the programs. Are changes anticipated in the plan?

The Lead Agency's Administrator of Early Childhood Services will to continue to provide funding and leadership among the programs. All programs have steering committees.

All of the programs' committees continually access committees' composition so that necessary expertise and that state and tribal representation is present. All of the ND Tribal Child Care Administrators have been asked to become members of both the PDLT and the ELG Committee. However tribal participation isn't consistent or complete.

There aren't any changes anticipated but will tweak programs and planning as necessary to achieve desired outcomes.

2.2 Public Hearing Process

Describe the Statewide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description must provide:

Date(s) of statewide notice of public hearing:

A Notice of Public Hearing was printed in ten newspapers statewide. In eight papers, the notice was printed on May 13, 2005. One notice was printed on May 14, 2005. One notice was printed on May 16, 2005.

Manner of notifying the public about the statewide hearing:

A Notice of Public Hearing was printed in the 10 major newspapers in the state. The following also were notified of the web site <http://www.nd.gov/humanservices/info/pubs/childcarepub.html> for the Plan and the scheduled hearing date and sites: County Social Service Offices; Directors, Early Childhood Staff and the Economic Assistance Regional Representatives at the Human Service Centers; Child Care Resource and Referral offices; Head Start Directors; and Tribes.

Date(s) of public hearing(s): **June 15, 2005.**

Hearing site(s):

- **The lead agency scheduled and conducted a public hearing via North Dakota Interactive Video Network (IVN) connecting with locations in the following sites:**
 - ✓ **Bismarck State College, Vocational Technical Center, Room 218
Bismarck**
 - ✓ **Dickinson State University, North Campus, Room 104, Dickinson**
 - ✓ **Williston State College, Main Building, Room 120, Williston**
 - ✓ **Minot State University, Administration Building, Room 158, Minot**
 - ✓ **Lake Region State College, Administration Building, Room 171, Devils
Lake**
 - ✓ **University of North Dakota, Gamble Hall, Room 120, Grand Forks**
 - ✓ **North Dakota State University, E. Morrow Lebedeff (EML) Building,
Room 170, Fargo**
 - ✓ **Jamestown State Hospital, Education Building/12West, Room 320,
Jamestown**

The Lead Agency

How the content of the plan was made available to the public in advance of the public hearing(s): **It was on the child care web site plus there were links to the Child Care Assistance Home Page, the Department's home page, and the Early Childhood Services and the Child Care's Q and A section. County Social Service Boards, Tribal Governments, CCR&R's, Early Childhood Staff at the Regional Human Service Centers, and Economic Assistance Regional Representatives were notified of the web site.**

Paper copies of the Draft Plan were made available to the Tribal Offices, the Lead Agency Office, fourteen Head Start Locations and the Head Start Collaboration Officer.

The public hearing was held on a weekday night with eight IVN sites as it had been two years ago. In addition to the notifications that were done two years ago, additional notifications and the Plan with the attachments were on a number of Department of Human Services web sites.

Input for the Plan was received during the Early Childhood Administrator's ongoing participation in the following committees: Professional Development Leadership Team; Early Learning Guidelines Committee; and ND Early Childhood Comprehensive Planning Grant. The Early Childhood Administrator meets with Child Care Resource and Referral staff regularly and get input on a ongoing basis from these staff. The suggestions from these groups are incorporated into ongoing processes and in the Plan.

The Child Care Subsidy Administrator received ongoing input from the Work Group for Child Care Subsidy as changes were made to the program. When the Child Administrator talked to one provider group, a provider made a comment that providers did not expect the payment rates to increase while the amount of money being received by the State was decreasing and when the State was making major program cuts.

A brief summary of the public comments from this process is included as Attachment 1.

2.3 Public-Private Partnerships

Describe (1) the activities, including planned activities, to encourage public-private partnerships that promote private-sector involvement in meeting child care needs, and (2) the results or expected results of these activities. (658D(b)(1), §98.16(d))

○ IDENTIFIER: CCR&R

The Child Care Resource and Referral Statewide Network is funded by the CCDF. The Lead Agency contracts with the following private agencies for the CCR&R services.

**Lutheran Social Services of North Dakota, and
Lakes and Prairies Opportunity Council, Inc.**

These agencies provide the following contracted services for the lead agency:

- ✓ Training Delivery System to child care providers**
- ✓ Child Care Nurse Consultation**
- ✓ ND Program for Infant and Toddler Caregivers**
- ✓ State and Tribal Licensing Consultation**
- ✓ Apprenticeship Program**
- ✓ First Children's Finance of ND**

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: CCR&R agencies involve many local partners to meet the desired outcomes to ultimately improve the care children receive in child care.

Expected Results:

Parents receive assistance in finding child care that meets their needs, quality child care trainings are made available statewide to child care providers, child care providers receive consulting services that improve the care they provide, technical assistance on developing business plans and low interest loans are made available to child care providers.

○ **IDENTIFIER: STATE/TRIBAL/CCR&R**

The State and Tribal Licensing Consultation is a public-private partnership funded with Spirit Lake Tribe and CCDF funds by the Lead Agency. The Lead Agency contracts with Lutheran Social Services of North Dakota to assist the Lead Agency, Standing Rock Sioux Tribe and the Spirit Lake Tribe with developing child care licensing rules and policies and procedures.

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: Over the next two years both participating tribes and the lead agency will seek to assist the other tribes with their child care licensing system building needs.

Expected Results: By 2007 both tribes will have a complete child care licensing system.

○ **IDENTIFIER: STATE/CCR&R/PRIVATE FOUNDATION**

North Dakota Program for Infant and Toddler Caregivers is a public private partnership funded with a grant from the Bush Foundation of St. Paul, Minnesota. The Lead Agency contracts with the following agencies to provide the services.

CCR&R Network

Fort Berthold Child Care Center

Standing Rock Reservation-Sitting Bull Community College

Spirit Lake Reservation

Trenton Indian Service Area

Activities include:

- ✓ **Training of Trainers on WestEd Infant/Toddler Modules**
- ✓ **Training of Child Care Providers on the WestEd Modules**
- ✓ **Provide on-site consulting services**
- ✓ **Professional Development Conference for trainers**

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: CCR&R and the tribes actively seek local partners.

Expected Results: Quality infant/toddler care will be increased statewide.

○ **IDENTIFIER: STATE/CCR&R/TRIBAL/FEDERAL AGENCY**

ND Apprenticeship Project is a public private partnership that includes:

ND CCR&R Network

US Department of Labor

Lead Agency /Early Childhood Services

Seven (for profit, non-profit and tribal) child care facilities

Activities Include:

- ✓ **7 apprenticeship sites operating**
- ✓ **30 child care apprentices and 23 work site journey workers**
- ✓ **Intensive training for apprentices**
- ✓ **Wage increases for apprentices**

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: The project will actively seek local colleges and universities to participate in allowing college credit for the apprenticeship training and course work.

Expected Results: Child Care Providers receive quality training that will improve the care for the children in their care.

○ **IDENTIFIER: CCR&R/UNIVERSITY SYSTEM(public & private)**

Training Delivery System public private partnership includes:

NDCCR&R Network

Higher Educational Training Approval Board

Trainers

Activities Include:

- ✓ **Training of Trainers**
- ✓ **Higher Ed Training Approval Board reviews all training curriculum developed by CCR&R**
- ✓ **Trainings are delivered to child care providers statewide**

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: All private and state colleges and universities will be encouraged to continue with their involvement and those not currently participating will be encouraged to participate on the Training Approval Board.

Expected Results: CCR&R training is developmentally appropriate and researched based.

○ **IDENTIFIER: CCR&R/NON-GOVERNMENTAL COMMUNITY
First Children's Finance Of ND**

In 2004 the Lead Agency established a partnership with a Minnesota nonprofit agency, *The Development Corporation for Children*. This program provides low interest business loans to family child care providers, child care centers, and early education programs.

In May 2005, the planning committee will meet to generate the key components of a strategic business plan that will launch the development of a child care business development center in North Dakota.

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: Continue to meet with our state's economic development department.

Expected Results: Economic development will partner with child care and see it as an interracial part of their business recruitment efforts. Child care providers will have access to resources and expertise to support the development, financial viability, and sustainability of quality child care business.

○ **IDENTIFIER: CCR&R
Child Care Nurse Consultation**

The nurses located at the CCR&R offices provide:

- ✓ **Health and safety trainings;**
- ✓ **Consulting services (nurses are trained to conduct Infant/Toddler Environment Rating Scales); and**
- ✓ **Development of resources such as pamphlets, brochures, and a health and safety manual for child care providers.**

Activities to encourage public private partnerships that promote private-sector involvement in meeting child care needs: Nurses will continue to make local connections such as local public health agencies.

Expected Results: Children will be cared for in health environments.

PART 3

CHILD CARE SERVICES OFFERED

3.1 Description of Child Care Services

3.1.1 Certificate Payment System

Describe the overall child care certificate process, including, at a minimum:

- (1) a description of the form of the certificate (98.16(k));

Following application and submission of necessary information, the clients notify the eligibility worker whom they have chosen as their providers. Clients are notified if they are eligible for a month of service. The child care certificate acknowledges that they have chosen their provider, lists the month of service, the total bill, the total amount paid by the child care subsidy program, the amount paid for each child and the amount that the client owes the provider. The certificate is issued identifying the assistance provided to the client. The payment is sent to the provider authorized by the client.

- (2) a description of how the certificate program permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to choice of the provider; (658E(c)(2)(A)(iii), 658P(2), 98.2, 98.30(c)(4) & (e)(1) & (2)) and

The family is given the option of choosing from any provider who is regulated or licensed by the State of North Dakota, including licensed providers such as center based care, group facilities, family providers plus those who are self-certified, registered or an approved relative. Families, who live close to the North Dakota borders, may also choose a provider who is licensed or registered in the bordering state. A relative living in a bordering state may apply to become an approved relative. Tribal providers, who are registered or licensed with the Tribe, and military providers, who are licensed by the military, can also be chosen by a family to provide care. After the certificate is issued to the client, payment is issued to the provider that the client has authorized.

- (3) if the Lead Agency is also providing child care services through grants and contracts, estimate the mix of §98.50 services available through certificates versus grants/contracts, and explain how it ensures that parents offered child care services are given the option of receiving a child care certificate. (98.30(a) & (b)) This may be expressed in terms of dollars, number of slots, or percentages of services.

Not applicable as all payments are made through certificates.

3.1.2 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

☐ Yes, and the following describes the types of child care services, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

☒ No

3.1.3 The Lead Agency must allow for in-home care but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

☒ Yes, and the limits and the reasons for those limits are: (§§98.16(g)(2), 98.30(e)(1)(iv))

In-home care is limited as it becomes more expensive for the family to choose in-home care, as the family is responsible to ensure minimum wages, plus other benefits as an employer. In-home care, by a provider residing outside the child's home, is allowed for seriously ill children and for children with disabilities so severe; it is risky to take the child out of the home. Parents are notified that they are responsible for minimum wage and other benefits as an employer.

When the provider and the child reside in the same house, the house is considered by each to be their home. These child care providers (such as a grandparent, but not a parent) must meet the same requirements of any other licensed, registered, approved relative or self-certified provider.

☐ No

3.1.4 Are all of the child care services described in 3.1.1 above (including certificates) offered throughout the State? (658E(a), §98.16(g)(3))

☒ Yes

☐ No, and the following are the localities (political subdivisions) and the services that are not offered:

3.2 Payment Rates for the Provision of Child Care

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish payment rates for child care services that ensure eligible children equal access to comparable care.

These rates are provided in **Attachment 2**.

The attached payment rates were or will be effective as of **October 2003**.

The following is a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- The month and year when the local market rate survey(s) was completed: **March 2005**. (§98.43(b)(2))
- A copy of the Market Rate Survey instrument and a summary of the results of the survey are provided as **Attachment 3**.
- How the payment rates are adequate to ensure equal access based on the results of the above noted local market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey): (§98.43(b))
 - **The Department pays the same rate for centers, preschool facilities, groups, multi-licensed facilities, school age facilities and public approvals. The full time rate is \$460 for infant (new born through the month of the second birthday), is \$440 for a toddler (2 year old through the month of the third birthday) and is \$400 for a 3 year up to a 13 year old.**

The results of the market rate survey showed that the full time monthly rates for an infant in these facilities at the 75 percentile is \$470. The State rate is \$460 per month and is at the 71.8 percentile.

The results of the market rate survey showed that the full time monthly rates for a toddler, who is two year old, in these facilities at the 75 percentile is \$445. The State rate is \$440 per month and is at the 66.8 percentile.

The results of the market rate survey showed that for full time monthly rates for a 3 up to 5 year old in these facilities at the 75 percentile was \$404. The Department pays \$400 and is at the 74.8 percentile.

The results of the market rate survey showed that the full time monthly rates for a 5 up to 6 year old in these facilities at the 75 percentile was \$320. The Department pays \$400 and is at the 94.2 percentile.

The results of the market rate survey showed that the for full time monthly rates for a 6 up to a 13 year old in these facilities at the 75 percentile is \$175. The Department pays \$400 a month and is at the 98.6 percentile.

- **The Department pays the same rate for family and in-home providers. Since the Department pays about three providers under the classification of in-home providers a year, they were not surveyed. The full time rates for infant is \$440, for a toddler (2 year old) is \$400 and for 3 up to 13 years old \$380**

The results of the market rate survey showed that for an infant who was in full time care, the monthly rate at the 75th percentile was \$454. The Department's rate is \$400 and is at the 74.3 percentile.

The results of the market rate survey showed that for a 2 year old who was in full time care; the monthly rate at the 75th percentile was \$400, which is the Department's rate.

The results of the market rate survey showed that for a 3 up to a 5 year old in full time care the monthly rate at the 75th percentile was \$400. The Department's rate is \$380 and is at 52.3 percentile.

The results of the market rate survey showed that for a 5 up to a 6 year old in full time care the monthly rate at the 75th percentile was \$360. The Department's rate is \$380 and is at the 87.8 percentile.

The results of the market rate survey showed that for a 6 up to a 13 year old in full time care; the monthly rate at the 75th percentile was \$260. The Department's rate is \$400 and is at the 111.1 percentile.

- Additional facts that the Lead Agency relies on to determine that its payment rates ensure equal access include: (§98.43(d)). **Clients are able to find providers who will still accept subsidy payments.**
- If the payment rates do not reflect individual rates for the full range of providers - center-based, group home, family and in-home care -- explain how the choice of the full range of providers is made available to parents.
NA
- At what percentile of the current Market Rate Survey is the State rate ceiling set? If it varies across categories of care, please describe.
See the section above that compared the market rate survey versus the Lead Agency's payment rates.
- Does the State have a tiered reimbursement system (higher rates for child care centers and family child care homes that achieve one or more levels of quality beyond basic licensing requirements)?

☐ Yes. If yes, describe:

☒ No

3.3 Eligibility Criteria for Child Care

- 3.3.1 Complete column (a) and (b) in the matrix below. Complete Column (c) ONLY IF the Lead Agency is using income eligibility limits lower than 85% of the SMI).

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			(c) Income Level, lower than 85% SMI, if used to limit eligibility	
			(d) \$/month	(e) % of SMI [Divide (d) by (a), multiply by 100]
1	2474	2103	NA	NA
2	3235	2750	1994	62%
3	3996	3397	2463	62%
4	4758	4044	2933	62%
5	5519	4691	3402	62%

If the Lead Agency does not use the SMI from the most current year, indicate the year used: **2006**

If applicable, the date on which the eligibility limits detailed in column (b) became or will become effective: **NA.**

- 3.3.2 How does the Lead Agency define “income” for the purposes of eligibility?
Gross income is the income before deductions for taxes, social security or any other items. The gross income, earned and unearned, of all household members in a loco parentis household, stepparent, and unmarried couples where paternity of at least one child in common is acknowledged or adjudicated will be used for the Child Care Assistance Program.

Is any income deducted or excluded from total family income, for instance, work or medical expenses; child support paid to, or received from, other households;
Some of the income exclusions are listed in Attachment 4. Individuals who are paid weekly or bi-weekly every third month receive either a fifth or third check during the month. The fifth check in the month for a person receiving weekly checks and the third check in a month for a person receiving bi-weekly check are disregarded.

Child Support and court ordered spousal support paid to another household is an allowable deduction. For individuals who are self-employed the deductible expenses are in Attachment 5.

Supplemental Security Income (SSI) payments? **SSI payments are considered income, and are not disregarded.**

Is the income of all family members included, or is the income of certain family members living in the household excluded? Please describe and/or include information as (§§98.16(g)(5), 98.20(b)) **Earned income of all children in the household is excluded.**

- 3.3.3 Has the Lead Agency established additional eligibility conditions or priority rules, for example, income limits that vary in different parts of the State, special eligibility for families receiving TANF, or eligibility that differs for families that include a child with special needs? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

☒ Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

Children who are in families on TANF, young parents participating in Crossroads, and children whose parents are on Pro-Work Continuing Assistance (the transitional stage after TANF closure) are part of the Department's priority list and also are eligible for 100% of the allowable maximum costs needed for the parents/caretakers to participate in the allowable activities.

Children with special needs are the number one priority to receive care if the Department has to start a waiting list.

- 3.3.4 Has the Lead Agency elected to waive, on a case-by-case basis, the fee and income eligibility requirements for cases in which children receive, or need to receive, protective services, as defined in Appendix 2? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☐ Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

☐ No

☒ Not applicable. CCDF-funded child care is not provided in cases in which children receive, or need to receive, protective services.

- 3.3.5 Does the Lead Agency allow CCDF-funded child care for children above age 13 but below age 19 who are physically and/or mentally incapable of self-care? (Physical and mental incapacity must then be defined in Appendix 2.) (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

☒ Yes, and the upper age is **18**.
☐ No

- 3.3.6 Does the Lead Agency allow CCDF-funded child care for children above age 13 but below age 19 who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

☒ Yes, and the upper age is **18**.
☐ No

- 3.3.7 Does the State choose to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))

☐ Yes. (**NOTE:** This means that for CCDF purposes the State considers these children to be in protective services.)
☒ No

- 3.3.8 Does the State choose to provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

☐ Yes
☒ No

3.4 Priorities for Serving Children and Families

- 3.4.1 Describe how the State prioritizes service for the following CCDF-eligible children: (a) children with special needs, (b) children in families with very low incomes, and (c) other. Terms must be defined in Appendix 2. (658E(c)(3)(B))

If the state has to develop a waiting list, the following children would be served before any others on the waiting list:

- 1. Special Needs Children;**
- 2. Children who are in families on TANF;**
- 3. Children of young parents participating in Crossroads;**
- 4. Children whose parents are on Pro-Work Continuing Assistance (the transitional stage after TANF closure);**
- 5. Children whose single parent families are at risk of becoming dependent on an assistance program; and**
- 6. Children in families with very low-income.**

- 3.4.1 Describe how CCDF funds will be used to meet the needs of: (a) families receiving Temporary Assistance for Needy Families (TANF), (b) those attempting to transition off TANF through work activities, and (c) those at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

The CCDF monies will be used to pay for child care service for the families on TANF and Pro-Work Continuing Assistance (those clients transitioning off TANF) at 100% of the allowable maximum rates.

Teen parents, who met the eligibility for the Crossroads Program and are at or below poverty level, will not pay a fee. The parent who is eligible for Crossroads is “a teenage parent, male or female, married or unmarried, who is 20 years old or younger, who has the primary responsibility for the care of his/her child.” The goal of the Crossroads Program is to “provide child care...for eligible teenagers who are pursuing high school, GED or alternative high school education.”

For families at the risk of being dependent on TANF, the family is eligible for services at low co-pays and family caps to ensure low payments for child care services by the family.

- 3.4.3 Does the Lead Agency maintain a waiting list?
- ☐ Yes. If yes, for what populations? Is the waiting list maintained at the State level? Are certain populations given priority for services, and if so, which populations? What methods are employed to keep the list current?
- ☒ No. If no, does the Lead Agency serve all eligible families that apply?
- ☒ Yes
- ☐ No

Are there other ways that the Lead Agency addresses situations in which funding is not sufficient to serve all families that are technically eligible under State policies? If so, describe.

When the resources cannot support everyone who meets the current program requirements, the Child Care Program Subsidy requirements are made more stringent so that all those who are eligible can receive services immediately.

3.5 Sliding Fee Scale for Child Care Services

- 3.5.1 A sliding fee scale, which is used to determine each family's contribution to the cost of child care, must vary based on income and the size of the family. A copy of this sliding fee scale for child care services and an explanation of how it works is provided as **Attachment 6**.

The attached fee scale was or will be effective as of **October 2003 and was based on the median income from 2000**.

Will the Lead Agency use additional factors to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- ☒ Yes, and the following describes any additional factors that will be used:
The co-pay amount is first determined using family size and income. This amount is then compared to the maximum family payment for the family size and income. The family pays the lesser of the two amounts.

The maximum family payment assists families who have large child care bills. These families usually have a number of very young children in child care or have large families with a number of children in child care.

- ☐ No

- 3.5.2 Is the sliding fee scale provided in the attachment in response to question 3.5.1 used in all parts of the State? (658E(c)(3)(B))

- ☒ Yes
☐ No, and other scale(s) and their effective date(s) are provided as Attachment 6.

- 3.5.3 The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family of 3 is: **\$14,150 for poverty level in 2000**.

The Lead Agency must elect ONE of these options:

- ☐ ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.
- ☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- ☒ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The following describes these families:

TANF clients;

Clients who are transitioning off TANF are eligible for three months provided their income does not exceed 62% of the 2006 median income ; and

Crossroads clients, who are young parents who have not completed high school.

- 3.5.4 Does the Lead Agency have a policy that prohibits a child care provider from charging families any unsubsidized portion of the provider's normal fees (in addition to the contributions discussed in 3.5.1)? (§98.43(b)(3))

☐ Yes. Please describe:

☒ No.

- 3.5.5 The following is an explanation of how the copayments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

The co-pays, which are determined by the sliding fee scale, are a percentage of the allowable child care billing by the provider. Based on family size and gross income, the state pays a percentage of the allowable charges with the remainder being the responsibility of the family. The co-pay graduates upward with the increased income of the family.

The family cap payment is the second factor to ensure that the co-pays are affordable for families. The family cap usually is used to set the client's co-pay when the family has high child care expenses when there a larger than normal number of children or , a number of children under three years old. After the family's co-pay is determined based on the sliding fee scale, it is compared to the family cap. The family pays the lower of the two amounts. The Sliding Fee Scale includes the cap amount for each family size along with the percentage on the sliding fee scale.

A family of three with the gross income of \$1,400 based on the sliding fee scale would have at least 55% of the allowable costs paid by CCAP. If there were two children, each with an allowable cost of \$360, based on the sliding fee scale the family would pay \$324, which would be 23% of the family income. Because of the maximum family payment policy, the family would pay \$212, which is 15% of their income.

PART 4

PROCESSES WITH PARENTS

4.1 Application Process / Parental Choice

4.1.1 The following describes the process for a family to apply for and receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a) through (e)). If the process varies for families based on eligibility category, for instance, TANF versus non-TANF, please describe. The description should include:

- How parents are informed of the availability of child care services and about child care options
The pamphlet “DN 861, Child Care Assistance Program” is available in the county social service offices and various locations such as the Head Start Programs that parents are likely to access. In the pamphlet it states that parents have the right to choose their own provider, whether the provider is a non-profit or profit, sectarian or relatives. It states the parent can contact the local social service office about licensing, self-certification or approval of relatives. In addition, there is a section “Help Finding Child Care” which lists the telephone numbers of all the CCR&R offices statewide. The CCR&R offices can assist the parent in finding the type of child care the parent is seeking in the local that the parent wishes to have the provider live.
In addition, “DN 108, Comparison of Licensed and Unlicensed Child Care” lists the differences between the basic requirements for licensed providers and the legally non-licensed providers.
- Where/how applications are made
For the Child Care Assistance Program the client is not required to have an interview to apply for assistance. The individuals can access an application on the Child Care web page or ask to have one sent to their homes by the county social service offices. Some child care providers also keep applications on hand at their facilities. The individuals then mail or bring the application to their local county social service offices.
- Who makes the eligibility determination
The eligibility workers at the county social service offices determine eligibility based on standards developed by the Lead Agency.
- How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4
Both the county eligibility workers and the Job Services Jobs Coordinators would notify the client of this exception.

- Length of eligibility period including variations that relate to the services provided, e.g., through collaborations with Head Start or pre-kindergarten programs.
Statewide the eligibility is only for one month. In Grand Forks, Williams and Traill Counties there is a project to use extended eligibility. In the three counties in the project, clients can be certified up to a year.
- Any steps the State has taken to reduce barriers to initial and continuing eligibility for child care subsidies
The on-line application provides greater access for the clients. In addition, the clients do not have to come to the county social services offices to apply or to submit their monthly reports. All their contacts with the county eligibility workers can be by phone or mail.

Once the client is eligible for subsidy assistance and continues to meet all the Program requirements, they can continue to participate in the Program for an unlimited time period.

- 4.1.2 The following is a detailed description of how the State ensures that parents are informed about their ability to choose from among family and group home care, center-based care and in-home care including faith-based providers in each of these categories.

The pamphlet “DN 861, Child Care Assistance Program” states that parents have the right to choose their own provider, whether the provider is a non-profit or profit, sectarian or relatives. The parents are also informed that they can choose a center, group home, family home, self-certified provider or an approved relative. There also is a section “Help Finding Child Care” which lists the numbers of all the CCR&R statewide to guide individuals to help finding a provider to meet their child care needs.

In the new Client Handbook, which is expected to be operational in January 2006 and is part of the Department’s application for multi programs, the applicants for Child Care Assistance are informed of the right to choose any provider, whether the provider is non-profit or profit, sectarian or relative. The parents can also chose can choose a center, group home, family home, self-certified provider or an approved relative as their provider.

4.2 Records of Parental Complaints

The following is a detailed description of how the State maintains a record of substantiated parental complaints and how it makes the information regarding such parental complaints available to the public on request. (658E(c)(2)(C), §98.32))

The "SFN 1269, Child Care Concern Form" was developed to document child care concerns and complaints. Child Care Resource and Referral Staff, Food Program Sponsors, and County, Regional or Central Office Licensing Staff can initiate this form. The form can also be initiated by parents or concerned individuals. The county licensurer investigates all concerns and complaints and provides a summary of the investigation on the form. The SFN 1269 is routed to the Lead Agency's regional and central offices for review and to determine of the final corrective action. This form can be accessed on the Lead Agency's web site: www.state.nd.us/humanservices.

How Do Parents Or Interested Individuals File Concerns Or Complaints:
During the 2003 ND Legislative Session passed a bill that requires both licensed and self-certified providers to notify parents how to file concerns and complaints.

NDCC 50-11.1-07.2 (c) Notify the parent, guardian, or custodian of each child receiving care at the facility and each employee of the facility of the process for reporting a complaint or a suspected licensing violation.

As a result, the Lead Agency's Administrator of Early Childhood Services prepared and distributed a sample form for providers to inform the parents and employees how to make a report.

Complaints regarding licensed and self-certified providers are directed to the county social service office for investigation. Substantiated complaints that result in a determination that a licensure rule has been violated are subject to corrective action by the provider. The county social service office has the responsibility to issue correction orders. Should the county office determine the complaint merits further corrective action, the Lead Agency's regional regulatory staffs are contacted.

The Lead Agency's regional regulatory staff then reviews the complaint. At this point the regional regulatory staff in consultation with the State Administrator of Early Childhood may issue a revocation or suspension. The Lead Agency is responsible to inform the provider of possible penalties associated with continued operation in violation of the revocation or suspension.

The Lead Agency will maintain a list containing all licensed and self-certified providers who have been subject to a corrective action and shall make the list available to the public upon request. The county licenser and the regional early childhood representative have this information on file available to the public upon request.

4.2 Unlimited Access to Children in Child Care Settings

The following is a detailed description of the procedures in effect in the State for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

- **Licensing Administrative Rule regarding parents' unlimited access to their children is as follow:**

"Parents are provided unlimited access and opportunities to observe their children at any time while in care, and are provided regular opportunities to meet with caregivers before and during enrollment to discuss their children's needs."

- **Child Care Resource and Referral Network provides parents with a handbook that contains information regarding unlimited parental access to their child(ren) while in care. This is part of the parent consumer education component.**
- **The "DN 861, Child Care Assistance Program" brochure given to parents and caretakers, has a section defining that parents must be given unlimited access to their children and to the providers, who are providing care, during the operating hours of the child care facility.**
- **Form "DN 108 Comparison of Licensed and Unlicensed Child Care" is given to individuals applying for child care assistance to help them to understand the difference in requirements for the continuum of child care providers. This form also includes the statement "The child care provider shall provide parents with unlimited access and opportunities to observe their children at any time their children are in care."**
- **The "DN 357, Child Care Assistance, Provider Handbook" states "Parents must be given unlimited access the child(ren) and the providers caring the child(ren) during normal hours of operation."**
- **Parents using unlicensed regulated child care providers are notified of their right to have unlimited access to their children on a form they complete.**

4.4.1 Criteria or Definitions Applied by TANF Agency to Determine Inability to Obtain Child Care

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:

NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: **North Dakota Department of Human Services.**

- "appropriate child care": **The inability to obtain appropriate child care which includes licensed center-based provider, licensed family home child care providers, self-certified family home child care provider under North Dakota Century Code 50-11.1, or relative child care providers who are not required to be licensed or registered.**
- "reasonable distance": **Child Care is unobtainable at a location such that the usual commuting time from the parent's home to the location at which child care is provided, and on to the parent's worksite, is one hour or less.**
- "unsuitability of informal child care": **The client must show that the unavailability or unsuitability of informal care is not an option with either a relative or other legally non-licensed provider.**
- "affordable child care arrangements": **Child care is unobtainable, from a child care provider licensed or registered under North Dakota Century Code chapter 50-11.1, at a rate equal to or less than 1.1 times the market survey average rate for child care provided to children of the age of the parent's child in the region in which the parent lives.**

PART 5
ACTIVITIES & SERVICES TO IMPROVE THE QUALITY AND AVAILABILITY OF
CHILD CARE

5.1 Quality Earmarks and Set-Asides

- 5.1.1 The Child Care and Development Fund provides earmarks for infant and toddler care and school-age care and resource and referral services as well as the special earmark for quality activities. The following describes the activities; identifies the entities providing the activities; and describes the expected results of the activities. For the infant and toddler earmark, the State must note in its description of the activities what is the maximum age of a child who may be served with such earmarked funds.

North Dakota's maximum age for infant is 24 months.

North Dakota's maximum age for toddler is 36 months.

Infants and toddlers:

- **CCDF supports in part the child care health consultants, whose activities include:**
 - ✓ **To provide consultation to child care providers on appropriate diapering, sanitation, hand washing practices, illness policies, exclusion guidelines, immunization information;**
 - ✓ **To provide education on health and safety in the child care setting including training workshops: sleep position and SIDS prevention education; restrictive environments (swings, car seats, bouncers); brain development, feeding practices, and germ control; and**
 - ✓ **Involvement in assessing environments through the Infant/Toddler Environmental Rating Scale (ITERS), and consulting with programs to improve their scores.**

The Services are contracted to the CCR&R Agencies. The nurses are employed by CCR&R and funded with CCDF and private funds (Bush Foundation of St. Paul, Minnesota).

IDENTIFIER: CCR& R

Lakes and Prairies Community Action Agency – private non-profit that serves the eastern half of the state.

Lutheran Social Services - private non-profit, faith based that serves the western half of the state.

EXPECTED RESULTS: Infants and toddlers will receive quality care in safe and healthy environments.

- **CCDF supports the CCR&R's Training Division. Activities impacting infants and toddlers include:**
 - ✓ **Deliberate, long-term planning of provider training that is geographically accessible, affordable, practical and convenient; and**
 - ✓ **A strong delivery system for training, including WestEd's Program for Infant/Toddler Caregivers' curriculum.**

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

IDENTIFIER: CCR&R

Lakes and Prairies Community Action Agency - a private non-profit that serves the southeast half of the state;

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

EXPECTED RESULTS: Those who care for infants and toddlers will receive quality trainings.

- **CCDF together with private foundation (Bush Foundation of St. Paul, Minnesota) funds fund the ND Program for Infant and Toddler Caregivers to support CCR&R's activities impacting infants and toddlers. These include the following:**
 - ✓ **A lending library of books, resources and equipment (such as port-a-cribs, high chairs, strollers, etc.) for providers to borrow;**
 - ✓ **Consumer education on choosing child care for infants and toddlers (50% of calls), including referral to programs with opening, options for care, information on licensing, questions to ask and things to look for, average rates, and child care assistance; and**
 - ✓ **Disseminate child care information to the community through presentations to groups (expectant parents, workplace seminars, workforce development), free and paid advertising, newsletters, magazine and newspaper articles, brochure distribution, etc.**

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

IDENTIFIER: CCR&R

Lakes and Prairies Community Action Agency a private non-profit that serves the eastern half of the state;

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

EXPECTED RESULTS: Parents will receive information on how to choose child care for their infants and toddlers. Resources made available to child care providers will encourage more providers to care for infants thus increasing the availability of infant and toddler care.

Resource and referral services:

CCDF funds the statewide NDCCR&R Network core services that are:

Parent Services and Consumer Education - CCR&R helps parents find child care through a customized list of child care providers that meets the family's specific needs. Consumer education resources accompany all provider referral lists to assist families in identifying and securing quality care.

Provider Services - Based on community need, CCR&R works with regulatory agencies to recruit child care providers and assist them with program start-up. CCR&R is the primary source of training accessed by licensed child care providers throughout North Dakota. All aspects of provider training are conducted by CCR&R: trainer recruitment and support; curriculum assessment; training delivery; and data management reporting.

Consultation - CCR&R staff provides phone and on-site consultation to new and existing providers. Common topics addressed include business practices, facility and staff management, health and safety, special needs and program quality.

Business And Community Work - CCR&R's help communities and businesses assess current child care needs and provide consultation in identifying and realizing the solutions to child care concerns of communities.

IDENTIFIER: CCR&R

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the southeast half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

EXPECTED RESULTS:

All parents requesting referral services will receive a list of child care providers, specific to their needs, who have openings. All parents who receive a referral will receive consumer education information.

Training for providers is delivered statewide.

Training of trainers is provided as needed.

Training calendars are available to providers statewide.

A quality assurance component is established for training curriculum and trainers.

Basic Child Care is offered statewide and is updated as needed.

Providers will become aware of appropriate practices as it relates to health and safety issues. Collaboration will exist between the child care community, parents and families and the health care community. The health and safety of children in child care will be improved

Child care providers will have access to resources and expertise to support the development, financial viability, and sustainability of quality child care business.

School-age child care:

CCDF funds are used to support school age child care trainings/workshops to build awareness of school age child care, promote program development and provide consultation/technical assistance. This activity is incorporated into the trainings offered by the Child Care Resource and Referral statewide network.

IDENTIFIER: CCR&R

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

EXPECTED RESULTS: Quality school are care will be made available statewide. Those who care for school age children will receive quality training.

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- 5.1.2 The law requires that not less than 4% of the CCDF be set aside for quality activities. (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51) The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including earmarked funds):

\$ 859,638 (8 %).

- 5.1.3 Check either "Yes" or "No" for each activity listed to indicate the activities the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the special earmark for quality activities). (658D(b)(1)(D), 658E(c)(3)(B), §§98.13(a), 98.16(h))

	Yes	No
• Comprehensive consumer education	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Grants or loans to providers to assist in meeting State and local standards	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Monitoring compliance with licensing and regulatory requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Professional development, including training, education, and technical assistance	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Improving salaries and other compensation for child care providers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Activities in support of early language, literacy, pre-reading, and early math concepts development	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Activities to promote inclusive child care	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1) and (2))	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- 5.1.4 Describe each activity that is checked "Yes" above, identify the entity(ies) providing the activity, and describe the expected results of the activity.

ACTIVITY

Comprehensive Consumer Education- CCR&R distributes parent consumer education materials. This information includes: a booklet explaining child care regulations, sample interview questions, criteria to look for when touring a facility, a CARECHECK Brochure, information about Child Care Assistance Program and other information which is specific to the needs of the family.

Entity Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results:

All parents requesting referral services will receive a list of child care providers, specific to their needs, who have openings. All parents who receive a referral will receive consumer education information.

During the Lead Agency's fiscal year July 1, 2004 to June 30, 2005, CCR&R provided 4,497 referrals to parents seeking child care.

FY 06/07 Expected Activities:

Activities will continue and be ongoing.

ACTIVITY:

Monitoring Compliance With Licensing And Regulatory Requirements - All licensed facilities receive two review visits per year, one that is unannounced. In addition, complaints are investigated by an on-site review. When a rule violation occurs the following actions may be taken: corrective orders, fiscal sanctions, revocations, suspensions, injunctions and penalties.

Entity Providing The Activity

County social service offices conduct child care licensing studies, investigate complaints, and issue correction orders. County social services agencies are reimbursed by the Lead Agency with CCDF for approximately 50% of their child care licensing costs.

The Lead Agency's regional offices issue licenses, denials, revocations, and suspensions. The Lead Agency's Early Childhood Administrator develops regulations, policies, and procedures; conducts licensing training; reviews notices before issuance; and provides technical assistance. Lead Agency Central Office and regional staff are funded with the CCDF.

Expected Results

All complaints are investigated, all applications are acted upon, all non-compliance issues receive the appropriate corrective action, each licensed facility receives two visits per year (one that is unannounced) and appropriate technical assistance to the licensed child care providers/facilities is provided based upon state licensing policy and procedures.

Corrective Actions Taken In 2004:

Involve licensed and self-certified providers

- | | |
|--|-----|
| • Intent to deny license/certification | 27 |
| • Denial of license or certification | 35 |
| • Intent to revoke | 8 |
| • Revocations | 18 |
| • Suspensions | 1 |
| • Appeals | 9 |
| • Correction orders (county issued) | 324 |
| • Concerns/Complaints | 170 |

FY 06/07 Expected Activities:

Activities will continue and will be ongoing.

ACTIVITY

Professional Development, Including Training, Education, and Technical Assistance - A Professional Development Leadership Team (Attachment 9) comprised of 20 members helped define of the Early Care and Education Professional Development Plan and monitor the work. The plan was modified to include a recognition plan as well as a professional development plan.

Entity Providing The Activity

The Professional Development Leadership Team (PDLT) is responsible to review and provide input. The Lead Agency will provide partial funding with CCDF monies.

Anticipated activities for 2006-07: Implement the plan and develop star rating system for licensing.

Expected Results:

By July 2005 the writing group (members of the Professional Development Leadership Team) will submit the revised plan to be called the “2005 PDP” and an implementation draft plan. In July 2005, the PDLT will meet to finalize the implementation plan.

FY 06/07 Expected Activities:

2006-07 Implementation of plan and development of a star rating system for licensing.

ACTIVITY

Training And Technical Assistance – A Training Division and technical assistance is provided by CCR&R. North Dakota has six regional CCR&R Offices. Each office has local training advisory committees which address local training issues. The Training Advisory Committees are comprised of representatives of county licensing, family and center-based child care, Head Start, CCR&R, parents, public health, early childhood trainers, food program sponsors, tribal liaisons etc. Training is developed and delivered based upon this local input. CCR&R provides training calendar booklets to child care providers.

A Higher Education Training Approval Board has been created with CCDF monies to ensure a strong link of early childhood services to higher education. This approval board is comprised of early childhood instructors who are currently teaching classes for students seeking baccalaureate degrees at State and Tribal colleges/universities. The Board meets twice a year to provide feedback to the CCR&R Education Coordinators regarding curriculum offered by local CCR&R offices and to discuss other training related issues such as articulation and distant learning.

The training approval board determines: the level of training for participants - beginning (level 1) to more advanced (levels 2 and 3); the type, experience and expertise of the trainer needed for the material; the appropriateness of materials – Developmentally Appropriate Practice (DAP), ethical and cultural relevance; and the effectiveness of the adult learning training techniques

Basic Child Care Training, which became a licensing requirement for family and group providers in January 1999, was developed to provide newly licensed child care providers with some basic tools to assist them in their newly formed business. The intent of this training is not only to train and retain newly licensed providers but to serve as a prevention program as well. This six-hour training which includes Taxes and Record keeping, Contracts and Policies, Ages and Stages, Creativity, Guidance and Discipline, Professionalism, and Child Abuse and Neglect is required within the first year of licensure and shall be applied to their overall training requirement. CCR&R has the primary responsibility to deliver this training across the state.

Management Matters Training has been developed to provide center directors with some basic tools to assist them in the management of a child care Center. CCR&R Trainers deliver this training.

All trainings, including the Basic Child Care Training and the Management Matters Training, are provided statewide and are listed in the CCR&R's training calendars.

Entity Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state;

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Outcomes

Training for providers is delivered statewide.

Training of trainers is provided as needed.

Training calendars are available to providers statewide.

A quality assurance component is established for training curriculum and trainers.

Basic Child Care is offered statewide and is updated as needed.

Outcomes for 2004:

152 hours of training (Attendance: 841)

Basic Child Care Training was updated.

Each CCR&R agency provided training calendars.

Higher Ed Training Approval Board provided the quality assurance component.

“Training of the Trainer” events are conducted and trainers receive support needed.

FY 06/07 Expected Activities:

Activities will continue and will be ongoing. New trainings will be developed that coordinate with the domains of the early learning guidelines.

ACTIVITY

Activities In Support Of Early Language, Literacy, And Numeracy Development.

Activities are underway to align our professional development work with the development of standards/early learning guidelines that will incorporate early language, literacy and numeracy. The Voluntary Early Learning Guidelines Committee membership, that includes over 40 members, provides over site to the work of the project by providing input and reviewing the work of the writers. A Planning/Development/Funding Group that consists of individuals representing the ND Department of Human Services and the ND Department of Public Instruction has entered into an agreement with a writing team to draft the voluntary Early Learning Guidelines Birth to Five.

Entities Providing The Activity:

Lead Agency – Early Childhood Services (CCDF), Head Start Collaboration and Developmental Disabilities (Part C of DD) Administrators.
Department of Public Instruction – Assistant Director of Education Improvement and the Coordinator of Special Education (619of Part B).

Expected Results:

There is a joint effort by the Lead Agency and NDDPI to work collaboratively on creating the early learning guidelines for our state. The guidelines will be field tested, and the final draft will be completed by June 30, 2006.

FY 06/07 Expected Activities:

June 1, 2006-final meeting with the statewide consumer task force for approval of the ELG document.
June 30, 2006-Completion of final draft.

ACTIVITY

Activities To Promote Inclusive Child Care

Child Care Resource and Referral Training Division trainings include and promote inclusive child care. Child Care Health Consultants work with child care programs to develop special care plans for such children.

Entities Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results

Child Care providers will be more comfortable and knowledgeable on how to care for special needs children.

FY 06/07 Expected Activities:

Continuation of activities, ongoing.

ACTIVITY

Although the funding for the Healthy Child Care America project is no longer available, the Lead Agency uses CCDF's funds and funds from the Bush Foundation of St. Paul, Minnesota, to support the continued work of the child care health consultants.

The nurses provide technical assistance, develop health and safety trainings and provide on-site technical assistance regarding health and sanitation issues for child care providers in an effort to link health care and child care.

Entities Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results

Providers will become aware of appropriate practices as it relates to health and safety issues. Collaboration will exist between the child care community, parents and families and the health care community. The health and safety of children in child care will be improved.

FY 06/07 Expected Activities:

Child Care Health Consultants will continue their work, ongoing.

ACTIVITY

Accreditation Scholarship Program: This program provides funding for child care programs including family providers, centers, and school-age programs for the accreditation process. Applicants can receive up to \$500 towards costs incurred in obtaining their certificate.

Entities Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results

The quality of care will increase.

FY 06/07 Expected Activities:

Continuation of activities, ongoing.

ACTIVITY

Child Development Associate Scholarship Program

The scholarship program provides funding for individuals who have achieved their Child Development Associate Certificate. Applicants can receive up to \$500 towards costs incurred in obtaining their certificate.

Entities Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results

The providers' ability to provide quality care will be enhanced.

FY 06/07 Expected Activities:

Activities will continue, ongoing.

ACTIVITY

Apprenticeship Project:

Funded by the U.S. Department of Labor, this project provides intensive training and mentorship opportunities that lead to a national certification for early childhood professionals.

Entities Providing The Activity

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern quadrant of the state;

Expected Results

The facilities will improve the level of care provided.

2004 Outcomes

7 apprenticeship sponsor sites operating

30 registered apprentices

23 active qualified journey teachers

FY 06/07 Expected Activities:

Activities will continue, ongoing.

ACTIVITY

First Children's Finance Of ND, in partnership with the Minnesota nonprofit agency, *The Development Corporation for Children*, is in the process of putting together key components of a strategic business plan that will launch the development of a Child Care Business Development Center. This program will provide low interest business loans to family child care providers, child care centers, and early education programs.

Entities Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results

Child care providers will have access to resources and expertise to support the development, financial viability, and sustainability of quality child care business.

FY 06/07 Expected Activities:

Technical assistance will be available on how to establish a child care business plan.

ACTIVITY

N.D. Program For Infant Toddler Caregivers was launched in 1993 with support from the Bush Foundation of St. Paul, Minnesota. This initiative has enabled North Dakota to use the West Ed Program for Infant and Toddler Caregivers curriculum to provide ongoing training and consultation to providers caring for infants and toddlers.

Entities Providing The Activity

The Lead Agency contracts with the CCR&R entities that are housed at the following agencies:

Lakes and Prairies Community Action Agency - a private non-profit that serves the eastern half of the state; and

Lutheran Social Services - a private non-profit, faith based that serves the western half of the state.

Expected Results

The quality of care for infants and toddlers in care will be improved.

2004 Outcomes

- ✓ **62 training events**
- ✓ **152 hours of training (Attendance: 841)**
- ✓ **30 quality enhancement projects were completed in N.D. child care centers**

FY 06/07 Expected Activities:

Continued activities, ongoing as funding dictates from the Bush Foundation.

5.1.5 Is any entity identified in sections 5.1.1 or 5.1.4 a non-governmental entity?

☒ Yes, the following entities named in this part are non-governmental:
Name:
Type:

☐ No.

5.2 Good Start, Grow Smart Planning and Development

This section of the Plan relates to the President's *Good Start, Grow Smart* initiative which is envisioned as a Federal-State partnership that creates linkages between CCDF, including funds set-aside for quality, and State public and private efforts to promote early learning. In this section, each Lead Agency is asked to assess its State's progress toward developing voluntary guidelines on language, literacy, pre-reading, and early math concepts and a plan for the education and training of child care providers. The third component of the President's *Good Start, Grow Smart* initiative, planning for coordination across at least four early childhood programs and funding streams, was addressed in Section 2.1.2.

5.2.1 Status of Voluntary Guidelines for Early Learning. Indicate which of the following best describes the current status of the State's efforts to develop research-based early learning guidelines (content standards) regarding language, literacy, pre-reading, and early math concepts for three to five year-olds.

- ☐ **Planning.** The State is planning for the development of early learning guidelines. Expected date of plan completion: _____
- ☒ **Developing.** The State is in the process of developing early learning guidelines. Expected date of completion: **6-30-2006**.
- ☐ **Developed.** The State has approved the early learning guidelines, but has not yet developed or initiated an implementation plan. The early learning guidelines are included as Attachment _____
- ☐ **Implementing.** In addition to having developed early learning guidelines, the State has embarked on implementation efforts which may include dissemination, training or embedding guidelines in the professional development system. The guidelines are included as Attachment _____
- ☐ **Revising.** A State has previously developed early learning guidelines and is now revising those guidelines. The guidelines are included as Attachment _____
- ☐ **Other (describe):**

Describe the progress made by the State in developing voluntary guidelines for early learning since the date of submission of the 2004-2005 State Plan.

- **An Early Learning Guidelines Committee has been formed. (Attachment 10.)**
- **Committee was brought together to:**
 - ✓ **Obtain an understanding of Early Learning Guidelines**
 - ✓ **Get acquainted with one another –early childhood education and kindergarten/first grade representatives**
 - ✓ **Create a vision to guide the work of developing the guidelines**
 - ✓ **Identify what's important in the development of the guidelines**
 - ✓ **Begin the planning process**
- **Contract was established for the writing of the guidelines**
- **Committee (members added) gathered in May 2005 to discuss selection of the following:**
 - a. **Domains**
 - b. **Age-level intervals**
 - c. **Terminology**
 - d. **Format**

If developed, are the guidelines aligned with K-12 content standards?

☐

Yes. If yes, describe.

☐

No.

Please attach a copy of the guidelines. If the guidelines are available on the web, provide the appropriate Web site address:

5.2.2 Domains of Voluntary Guidelines for Early Learning. Do the guidelines address language, literacy, pre-reading, and early math concepts?

☒

Yes. **The guidelines will address language, literacy, pre-reading and early math concepts.**

☐

No

Do the guidelines address domains not specifically included in *Good Start, Grow Smart*, such as social/emotional, cognitive, physical, health, creative arts, or other domains?

☒

Yes. If yes, describe. **The guidelines will address motor, social/emotional, adaptive skills, communication and cognitive domains.**

☐

No

Have guidelines been developed for children in age groups not specifically included in *Good Start, Grow Smart* (children other than those aged three to five)?

☒

Yes. If yes, describe. **They will be developed for ages zero to kindergarten.**

☐

No

5.2.3 Implementation of Voluntary Guidelines for Early Learning. Describe the process the State used or expects to use in **implementing** its early learning guidelines. How are (or will) community, cultural, linguistic and individual variations, as well as the diversity of child care settings (be) acknowledged in implementation? Materials developed to support implementation of the guidelines are included as **Attachment 7 Project Proposal**.

5.2.4 Assessment of Voluntary Guidelines for Early Learning. As applicable, describe the State's plan for **assessing** the effectiveness and/or implementation of the guidelines. Written reports of these efforts are included as **Attachment 7**.

The Planning/Funding Steering Committee along with the overall ELG Committee will provide the ongoing assessment. An assessment tool will also be developed.

5.2.5 State Plans for Professional Development. Indicate which of the following best describes the current status of the State's efforts to develop a professional development plan for early childhood providers that includes all the primary sectors: child care, Head Start, and public education.

- ☐ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.
- ☐ **Developing.** A plan is being drafted. The draft is included as **Attachment ____**
- ☒ **Developed.** A plan has been written but has not yet been implemented. The plan is included as **Attachment 8.**
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment ____
- ☐ **Other (describe):**

Describe the progress made by the State in a plan for professional development since the date of submission of the 2004-2005 State Plan.

- **Professional Development Leadership Team (PDLT) membership was updated.**
- **The plan was completed.**
- **Higher Education Articulation Agreement was established.**
- **Leadership Team met in February 2005 to:**
 - ✓ **Understand the purpose of the PDLT;**
 - ✓ **Review and finalize the plan; and**
 - ✓ **Provide recommendations on short and long term implementation phases.**
- **Dan Haggard, New Mexico Office of Professional Development met with the PDLT in February to speak on lessons learned while developing their plan.**
- **Statewide Early Childhood Education Articulation Agreement developed in August 2005.**
- **Writers:**
 - ✓ **Made changes to the plan based upon input received at the February 2005 Meeting. The Plan is now called 2005 PDP.**
 - ✓ **PDLT received a packet containing the 2005 PDP version; accompanying letter and the implementation plan draft prior to the May 2005 meeting.**
 - ✓ **PDLT met in May 2005 to discuss the implementation plan.**
 - ✓ **Final version of the implementation plan will be submitted to the Funding/Steering Committee in August 2005.**

The ND Professional Development Implementation Plan has not been written. Because of this, the following questions must be answered no at this time.

NORTH DAKOTA STATE PLAN FOR CCDF SERVICES
FOR THE PERIOD 10/1/05 – 9/30/07

If your State has developed a plan for professional development, does the plan include:	Yes	No
A link to Early Learning Guidelines	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Continuum of training and education to form a career path	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Articulation from one type of training to the next	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Quality assurance through approval of trainers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Quality assurance through approval of training content	<input type="checkbox"/>	<input checked="" type="checkbox"/>
A system to track practitioners' training	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Assessment or evaluation of training effectiveness	<input type="checkbox"/>	<input checked="" type="checkbox"/>
State Credentials – Please state for which roles (e.g. infant and toddler credential, directors' credential, etc.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Specialized strategies to reach family, friend and neighbor caregivers	<input type="checkbox"/>	<input checked="" type="checkbox"/>

For each Yes response, reference the page(s) in the plan and briefly describe the Lead Agency's efforts.

For each No response, indicate whether the Lead Agency intends to incorporate these components. **Yes, the Lead Agency will incorporate these components statewide. These components will apply to all providers except the "in-home" and "other" providers.**

Are the opportunities available:	Yes	No
Statewide	<input type="checkbox"/>	<input checked="" type="checkbox"/>
To Center-based Child Care Providers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
To Group Home Providers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
To Family Home Providers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
To In-Home Providers	<input type="checkbox"/>	<input type="checkbox"/>
Other (describe):	<input type="checkbox"/>	<input type="checkbox"/>

Describe how the plan addresses early language, literacy, pre-reading, and early math concepts development.

Are program or provider-level incentives offered to encourage provider training and education?

- ☐ Yes. Describe, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts.
- ☒ No. If no, is there any plan to offer incentives to encourage provider training and education? **The plan is to seek a grant to fund incentives.**

What are the expected **outcomes** of the State's professional development plan and efforts to improve the skills of child care providers? As applicable, how does (or will) the State assess the effectiveness of its plan and efforts? If so, how does (or will) the State use assessment to help shape its professional development plan and training/education for child care providers?

Expected Outcomes of the State's professional development Plan:

- **A quality professional development system will be implemented for the state's early childhood field.**
- **The early childhood practitioners will provide high quality care to North Dakota's children.**
- **The quality early childhood training and education will be available statewide.**
- **Training and education credits will articulate, allowing the knowledge and skills acquired through one system of education or training to be accepted and applied to another.**
- **Standards will be set for the preparation of the early childhood workforce.**
- **Support and career counseling will be available to those who wish to pursue personal and professional development.**
- **The professional progress of the participants will be tracked.**
- **A vehicle will be provided to promote early childhood professional development and the importance of strengthening the early childhood field.**
- **Credentials will be available for Center Directors, Child Development Associate and Registered Apprenticeship.**
- **Certificates will be made available for Infant/Toddler Caregivers, School Age Caregivers, Exceptional Needs Specialist and Family Child Care Management Specialist.**
- **Quality on site consultation will be made available for centers and family care**
- **Program assessments will be available for infant/toddler and family care.**

Efforts to improve the skills of the child care providers:

- **Quality training will be made available statewide to child care providers by qualified trainers.**
- **Career advising will be made available to help practitioners recognize and set individual goals, to assist them in navigating the practical steps toward their goals and help in accessing various systems such as higher education and scholarship funds.**
- **CCR&R website will have resources for trainers and child care providers**
- **CDA program will be made available and will articulate to higher educational institutions.**
- **Quality on-site consultation will be made available to family care and infant/toddler care.**

How will the State assess the effectiveness of its plan and efforts:

The quarterly report provided by CCR&R network to the Lead Agency will include for evaluation:

- **Participation on the registry**
- **ITERS and ECERS rating scores**
- **Number of all providers that use the provider support services**
- **Participants' training satisfaction surveys**
- **Number of centers that send their staff to training**
- **Number of providers that attend CCR&R trainings**
- **Number of attendance of CCR&R trainings**
- **Number of Credentials for Center Directors, Child Development Associate and Registered Apprenticeship obtained.**
- **Number of those who obtain certificates in Infant/Toddler Caregivers, School Age Caregivers, Exceptional Needs Specialist and Family Child Care Management Specialist.**
- **Results of on-site consultations.**

How will the State use assessment to help shape its professional development plan and training/education for child care providers:

- **The Professional Development Leadership Team (Attachment 9) will continue to meet to evaluate the Professional Development System, review relevant data as a means of assessment and tweak the plans as needed.**
- **Professional Development Plan will be revised as needed.**
- **Programmatic changes and state policy changes will be made as needed to enhance the efforts of the Professional Development Plan.**

PART 6
HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS

(Only the 50 States and the District of Columbia complete Part 6.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements. The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>.

6.1 Health and Safety Requirements for Center-Based Providers (658E(c)(2)(F), §§98.41, §98.16(j))

6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation?

- ☐ Yes. Answer 6.1.2, skip 6.1.3, and go to 6.2.
☒ No. Describe which center-based providers are exempt from licensing under State law and answer 6.1.2 and 6.1.3.

Head Start is exempt from licensure by State Statute NDCC 50-11.1-02.5(l)

6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan?
(§98.41(a)(2)&(3))

- ☐ Yes, and the changes are as follows:
☒ No

The following ratios are required in center based care:

Infants/Toddlers	1:4	Maximum Group Size	8
27 months	1:5		10
3 years	1:7		14
4 years	1:10		20
5 years	1:12		24
5 years and older	1:18		36

6.1.3 For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

Head Start Performance Standards

- Building and physical premises safety

Head Start Performance Standards

- Health and safety training

Head Start Performance Standards

6.2 Health and Safety Requirements for Group Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

☒

Yes. Answer 6.2.2, skip 6.2.3, and go to 6.3.

☐

No. Describe which group home providers are exempt from licensing under State law and answer 6.2.2 and 6.2.3.

6.2.2 Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐

Yes, and the changes are as follows:

☒

No

Group homes can care for up to eighteen

6.2.3 For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

6.3 Health and Safety Requirements for Family Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

- ☐ Yes. Answer 6.3.2, skip 6.3.3, and go to 6.4.
☒ No. Describe which family child care providers are exempt from licensing under State law and answer 6.3.2 and 6.3.3. **Those who care for five or less children or three or less infants (up to 24 months) are exempt from licensure by state statute.**

6.3.2 Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ Yes, and the changes are as follows:
☒ No

6.3.3 For family care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

Relatives, who are approved child care providers, are exempt from health and safety requirements. It is recommended to them that they follow the safety standards as set forth for the self-certified providers.

- The prevention and control of infectious disease (including age-appropriate immunizations) **None**
- Building and physical premises safety **None**
- Health and safety training **None**

6.4 Health and Safety Requirements for In-Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC's compilation referenced above?

- ☐ Yes. Answer 6.4.2, skip 6.4.3, and go to 6.5.
☒ No. Describe which in-home child care providers are exempt from licensing under State law and answer 6.4.2 and 6.4.3.

Those who care for five or less children or three or less infants (up to 24 months) are exempt from licensure by state statute.

6.4.2 Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ Yes, and the changes are as follows:
☒ No

6.4.3 For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

In-home care is registered care in ND.

- The prevention and control of infectious disease (including age-appropriate immunizations) **-since this care is provided in the child's home the Lead Agency sees the prevention and control of infectious disease as a responsibility of the parents. There are no additional state Requirements.**
- Building and physical premises safety **-Again since this care is provided in the child's home the Lead Agency sees the building and physical premises safety as a responsibility of the parents. There are no additional state Requirements.**
- Health and safety training **-the regulations for in-home care 75-03-07 provides for training that is approved by the Lead Agency.**

6.5 Exemptions to Health and Safety Requirements

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements. (658P(4)(B), §98.41(a)(1)(ii)(A))

Indicate the Lead Agency's policy regarding these relative providers:

- ☐ **All** relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☒ **All** relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following describes those requirements and identifies the relatives they apply to:

6.6 Enforcement of Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how health and safety requirements are effectively enforced:

- Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

☒ Yes, and the following indicates the providers subject to routine unannounced visits and the frequency of those visits:

All licensed facilities are to receive one unannounced visit per year.

☐ No

- Are child care providers subject to background checks?
☒ Yes, and the following types of providers are subject to background checks (indicate when such checks are conducted):

All licensed child care providers are checked against the Child Abuse and Neglect files and are checked against the Attorney General's list of "Convicted Sex Offenders and Offenders Against Children List." Approved Relative Providers are checked against the Attorney General's list of "Convicted Sex Offenders and Offenders Against Children List."

In all instances, these checks are done prior to licensing and approvals.

☐ No

- Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

☒ Yes, and the following describes the State's reporting requirements and how such injuries are tracked (if applicable):

Licensing regulations require that licensed child care providers report serious injuries and illnesses to the licensing agency. (Form "SFN 383, Death/Serious Accident/Illness or Injury, Report Form.")

☐ No

- Other methods used to ensure that health and safety requirements are effectively enforced:
Monitoring, such as the yearly unannounced visit.

6.7 Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

PART 7
HEALTH AND SAFETY REQUIREMENTS IN THE TERRITORIES

(Only the Territories complete Part 7.)

7.1 Health and Safety Requirements for Center-Based Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

For all center-based care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.2 Health and Safety Requirements for Group Home Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

For all group home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.3 Health and Safety Requirements for Family Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

For all family child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.4 Health and Safety Requirements for In-Home Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

For all in-home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.5 Exemptions to Territorial Health and Safety Requirements

At Lead Agency option, the following relatives may be exempted from health and safety requirements: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care). (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- ☐ **All** relative providers are subject to the same requirements as described in sections 7.1 - 7.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☐ **All** relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to **different** health and safety requirements from those described in sections 7.1 - 7.4 and the following describes those different requirements and the relatives they apply to:

7.6 Enforcement of Territorial Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how Territorial health and safety requirements are effectively enforced:

Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

- ☐ Yes, and the following indicates the providers subject to routine unannounced visits and the frequency of those visits:
- ☐ No

Are child care providers subject to background checks?

- ☐ Yes, and the following types of providers are subject to background checks (indicate when such checks are conducted):
- ☐ No

Does the Territory require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

- ☐ Yes, and the following describes the Territory's reporting requirements and how such injuries are tracked (if applicable):
- ☐ No
- Other methods used to ensure that health and safety requirements are effectively enforced:

7.7 Exemptions from Territorial Immunization Requirements

The Territory assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the Territorial public health agency. (§98.41(a)(1))

The Territory exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☐ Children whose parents object to immunization on religious grounds.
- ☐ Children whose medical condition contraindicates immunization.

APPENDIX 1
PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 106-554)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))
- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

APPENDIX 2 ELIGIBILITY AND PRIORITY TERMINOLOGY

For purposes of determining eligibility and priority for CCDF-funded child care services, lead agencies must define the following *italicized* terms. (658P, 658E(c)(3)(B))

- *attending* (a job training or educational program; include minimum hours if applicable) -
Means going to and participating in the one of the activities listed in job training and education programs.
- *in loco parentis* -
Means a legal guardian who is physically caring for the child in his or her home or another person (relative or non-relative) physically caring for the child for an indefinite period of time.
- *job training and educational program* -
Education or training activities may include high school, basic remedial education programs, trade schools, vocational training at colleges and universities, or other activities designed to help the participant achieve basic literacy or training needed to secure employment or retain employment. Traditional high school attendance means: taking more 4 or more classes; part time is less than 4 classes. Alternative high school attendance means: the definition prescribed by the alternative education setting. For vocational training at colleges or universities attendance means: full time is 12 or more credit hours per semester or quarter. Part-time is less than 12 credit hours per semester or quarter. Vocational and trade schools vary as to full time or part-time student.
- *physical or mental incapacity* (if the Lead Agency provides such services to children age 13 and older) –
If a child is incapable of self-care because of verified physical or mental incapacity, the child may be eligible for child care. A qualified medical professional must verify in writing that an incapacity exists.
- *protective services* – **CCDF is not used for this population.**
- *residing with* –
Means a child or children who are physically present in the home for periods expected to last 30 or more continuous days.

- *special needs child* –

Is a child with a verifiable physical and/or mental disability requiring special interventions documented by a Developmental Disabilities case manager or school personal. The disability may also be verified by a physician or licensed Mental Health worker. For program purposes, a verified disability that results in the child needing supervision for their own safety will result in the special needs child being eligible for CCDF funded services up to the age of 19. CCR&R is available to assist child care providers in making adaptations for special needs children.

- *very low income* –

Family Size	Income
2	\$0-399
3	\$0-493
4	\$0-587
5	\$0-680

- *working* (include minimum hours if applicable) –

For families who are involved in required work or training activities through the State Job Opportunities and Basic Skills (JOBS) or Native Employment Works (NEW) programs as required by TANF, work may or may not be defined as earning a wage. For families who have transitioned off TANF and other low income families, working is defined as earning a wage. Self-employment is also defined as work and income is a factor for determining eligibility. Working also means, when a state has been determined to have a major disaster, individuals who are residing in the disaster area and are involved in unpaid work activities (including the cleaning, repair, restoration, and re-building of homes, businesses, and schools.)

- Additional terminology related to conditions of eligibility or priority established by the Lead Agency:

Crossroads Program

The parent who is eligible for Crossroads is “a teenage parent, male or female, married or unmarried, who is 20 years old or younger, who has the primary responsibility for the care of his/her child.” The goal of the Crossroads Program is to “provide child care...for eligible teenagers who are pursuing high school, GED or alternative high school education.”

Pro-Work Family

A Pro-Work family is one that is transitioning off of the TANF Program. The family is eligible to receive reimbursement of 100% of the allowable maximum rate per child for the time that the parents/caretakers are participating in an allowable activity. The family’s income must be below 62% of the 2006 median income for their family size.